

# U.S. Environmental Protection Agency

## Comprehensive Administrative Review

### for Amendments

#### I. GENERAL INFORMATION

APPLICANT: \_\_\_\_\_ ASSISTANCE NO.: \_\_\_\_\_

DUNS NUMBER: \_\_\_\_\_ [OBTAIN DUNS NUMBER IF NOT PREVIOUSLY RECEIVED]

TYPE OF ACTION: G SUPPLEMENTAL [COMPLETE SECTIONS I THRU VII]  
 G SUPPLEMENTAL WITH B & P EXT. [COMPLETE SECTIONS I THRU VIII]  
 G INCREMENTAL WITH CHANGE IN PROGRAM RESULTS CODE (PRC) OR MAJOR SCOPE [COMPLETE SECTIONS I, II & V]  
 G MAJOR CHANGE IN SCOPE [COMPLETE SECTIONS I, II & V]  
 G NO COST EXTENSION [COMPLETE SECTIONS I, II, V QUESTIONS 19 & 21 & SECTION VIII]

DATE REQUEST/APPL. RECD: \_\_\_\_\_ APPL. ENTERED INTO W&A /IGMS: \_\_\_\_\_ PROGRAM APPROVAL RCVD: \_\_\_\_\_

#### II. ELIGIBILITY AND PRE-AWARD CAPABILITIES REVIEW

	Yes	No	Comments
1. IS THE APPLICANT ON THE EXCLUDED PARTIES LIST SYSTEM? WEBSITE: <a href="http://WWW.EPLS.GOV">WWW.EPLS.GOV</a> DATE CHECKED: _____	G	G	FOR MORE INFORMATION: <a href="http://WWW.GPOACCESS.GOV">WWW.GPOACCESS.GOV</a> /ECFR OR 40 CFR PART 32  IF APPLICANT LISTED, CONTACT OGD

<b>NON-PROFIT APPLICANTS</b>			<b>G N/A</b>
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	Yes	No	Comments
2. DOES THE GRANTEE COMPLIANCE ASSISTANCE & RECIPIENT SUMMARY DATABASE CONTAIN UNRESOLVED EVALUATION REPORTS FOR THIS RECIPIENT?			IF YES, THIS AMENDMENT MAY NOT BE FUNDED UNTIL REPORTS ARE CLOSED OR IF FINDINGS IN THE REPOTS ARE DETERMINED TO BE RELEVANT, THE RECIPIENT IS ON TRACK TO COMPLETE THE CORRECTIVE ACTION IN ACCORDANCE WITH EPA ORDER 5700.8, ASSESSING CAPABILITIES OF NON-PROFIT APPLICANTS FOR MANAGING ASSISTANCE AWARDS AND THE PRE-AWARD GUIDANCE
3. DOES THE RECIPIENT HAVE OVERDUE CLOSE-OUT ACTIONS?	G	G	IF YES, REVIEW THE APPLICANT'S RECORDS FOR OUTSTANDING CLOSE-OUTS AND DETERMINE WHETHER THE BACKLOGGED CLOSE-OUT(S) ARE REPRESENTATIVE OF A LACK OF ADMINISTRATIVE CAPABILITY IN ACCORDANCE WITH EPA ORDER 5700.8, ASSESSING CAPABILITIES OF NON-PROFIT APPLICANTS FOR MANAGING ASSISTANCE AWARDS AND THE PRE-AWARD GUIDANCE

#### III. ADMINISTRATIVE/FINANCIAL REVIEW

**G N/A**

	Yes	No	Comments
4. IS THE AMENDED APPLICATION FOR FEDERAL ASSISTANCE & ASSURANCE SIGNED BY THE AUTHORIZED CERTIFYING OFFICIAL?	G	G	
5. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	G	G	IF SO, CONTACT RECIPIENT AND OBTAIN ADDITIONAL INFORMATION.
6. IS THERE A STATUTORY/REGULATORY/PROGRAMMATIC COST SHARE REQUIREMENT FOR THIS AWARD?  MATCHING PERCENTAGE _____ OF (CIRCLE ONE FEDERAL FUNDS OR TOTAL PROJECT COST)  MATCH REQUIRED: _____ MATCH PROVIDED: _____	G	G	IF YES, IS THE MATCH PROVIDED ADEQUATE? IF THE MATCH PROVIDED BY THE APPLICANT IS LESS THAN THE REQUIRED AMOUNT, THE APPLICATION MUST BE REVISED TO PROVIDE FOR ADEQUATE COST SHARING.

# ADMINISTRATIVE FUNDING RECOMMENDATION

## for Amendments

III. ADMINISTRATIVE/FINANCIAL REVIEW (CONT)	Yes	No	Comments
7. IS THE BUDGET MATHEMATICALLY CORRECT?	G	G	
8. HAS THE BUDGET NARRATIVE BEEN REVIEWED TO DETERMINE THAT COSTS CONFORM TO THE APPLICABLE COST PRINCIPLES AND ARE ALLOCABLE, ALLOWABLE, NECESSARY, AND REASONABLE FOR THE PROGRAM/PROJECT?	G	G	ATTACH GRANT SPECIALIST COST REVIEW WORKSHEET. FOR ADDITIONAL GUIDANCE GO TO: <a href="http://www.epa.gov/ogd/recipient/intro.htm">HTTP://WWW.EPA.GOV/OGD/RECIPIENT/INTRO.HTM</a>
<b>IV. WORK PLAN REVIEW</b>			
9. ARE THE ACTIVITIES CONTAINED IN THE AMENDED WORK PLAN ALLOWABLE UNDER THE AUTHORIZING STATUTE?	G	G	
10. DOES THE AMENDED WORK PLAN COMPLY WITH THE ENVIRONMENTAL RESULTS ORDER?	G	G	THE ENVIRONMENTAL RESULTS ORDER [5700.7] REQUIRES WORK PLANS TO CONTAIN, TO THE MAXIMUM EXTENT PRACTICABLE, WELL-DEFINED OUTPUTS AND OUTCOMES AND TO SUPPORT THE AGENCY'S STRATEGIC GOALS, OBJECTIVES & SUB-OBJECTIVES.
11. 40 CFR 35 A & B APPLICANTS ONLY. DOES THE APPLICATION MEET THE REGULATORY CONTENT REQUIREMENTS OF 40 CFR 35.107 OR 35.507?	G	G	
12. DOES THE AMENDED APPLICATION INVOLVE ENVIRONMENTAL MEASUREMENT OR DATA COLLECTION WHICH WAS NOT IDENTIFIED IN PREVIOUS AWARD(S)?	G	G	PROJECT OFFICER MUST ADDRESS IN FUNDING RECOMMENDATION.
13. DOES THE AMENDED APPLICATION IDENTIFY ACTIVITIES WHICH WILL BE PERFORMED OUTSIDE OF THE UNITED STATES WHICH WERE NOT APPROVED IN THE ORIGINAL AWARD?	G	G	APPROVAL MUST BE OBTAINED FROM THE OFFICE OF INTERNATIONAL ACTIVITIES PRIOR TO AWARD.
14. DOES THIS AMENDED APPLICATION INCLUDE PROGRAM INCOME WHICH WAS NOT IDENTIFIED IN PREVIOUS AWARD(S)?	G	G	IF YES, P.O. MUST ADDRESS PROGRAM INCOME IN THE FUNDING RECOMMENDATION.
15. DOES THIS AMENDED APPLICATION INVOLVE HUMAN SUBJECT TESTING WHICH WAS NOT IDENTIFIED IN PREVIOUS AWARDS(S)?	G	G	IF YES, VERIFY PROGRAM HAS OBTAINED CLEARANCE FROM THE EPA HUMAN SUBJECTS APPROVAL OFFICIAL WHEN FUNDING RECOMMENDATION IS REVIEWED.
16. DOES THIS AMENDED APPLICATION INVOLVE ANIMAL SUBJECT TESTING WHICH WAS NOT IDENTIFIED IN PREVIOUS AWARDS(S)?	G	G	IF YES, PROGRAM MUST ADDRESS ANIMAL SUBJECTS IN FUNDING RECOMMENDATION.
17. DOES THE AMENDED WORK PLAN INCLUDE ACTIVITIES INVOLVING CONDUCTING CONFERENCES OR WORKSHOPS WHICH WERE NOT IDENTIFIED IN PREVIOUS AWARD(S)?	G	G	IF YES, REVIEW THE BEST PRACTICES GUIDE FOR CONFERENCES FOR COMPLIANCE
18. IS THIS A COOPRATIVE AGREEMENT WHICH WILL INCLUDE THE SURVEY OR COLLECTION OF IDENTICAL INFORMATION FROM 10 OR MORE PERSONS, OR A GRANT WHICH WILL INCLUDE THE SURVEY OR COLLECTION OF IDENTICAL INFORMATION FROM 10 OR MORE PERSONS AND EPA WILL INFLUENCE THE DESIGN OR DEVELOP THE ACTIVITIES OF THE SURVEY WHICH WAS NOT IDENTIFIED IN THE ORIGINAL AWARD OR PREVIOUS AMENDMENTS?	G	G	IF YES, PROGRAM MUST ADDRESS OMB DATA COLLECTION REQUIREMENTS IN FUNDING RECOMMENDATION.
<b>V. FUNDING RECOMMENDATION REVIEW</b>			<b>G N/A</b>
	Yes	No	Comments
19. IS THE EPA PROJECT OFFICER CERTIFICATION CURRENT?	G	G	
20. HAS THE FUNDING RECOMMENDATION BEEN SIGNED BY THE DELEGATED APPROVAL OFFICIAL?	G	G	
21. DOES THE PROJECT DESCRIPTION COMPLY WITH THE DATA QUALITY STANDARDS FOR PROJECT DESCRIPTIONS (GPI 04-05)?	G	G	REVISE DESCRIPTION ON AWARD DOCUMENT

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v. FUNDING RECOMMENDATION REVIEW (CONT)	Yes	No	Comments
22. IS THERE DOCUMENTATION REGARDING HOW THE ACTIVITIES TO BE FUNDED FIT WITH THE STATUTORY AUTHORITY?	G	G	
23. HAS THE PO DOCUMENTED THAT THE PROGRAM RESULTS CODE (PRC) AND THE PROJECT/PROGRAM ACTIVITIES ARE APPROPRIATE?	G	G	SEE THE ENVIRONMENTAL RESULTS ORDER 5700.7.
24. HAS THE PO ADDRESS QUALITY ASSURANCE/CONTROL/MANAGEMENT PLAN ISSUES.	G	G	
25. DOES THE PROJECT INVOLVE HUMAN SUBJECT TESTING?	G	G	PO MUST OBTAIN CLEARANCE FROM THE EPA HUMAN SUBJECTS APPROVAL OFFICIAL.
26. DOES THE PROJECT INVOLVE ANIMAL SUBJECTS?	G	G	PROGRAM MUST INCLUDE ANIMAL SUBJECT CONDITION IN TERMS & CONDITIONS OF AWARD.
27. IF ACTIVITIES HAVE BEEN IDENTIFIED IN THE WORK PLAN WHICH WILL BE PERFORMED OUTSIDE OF THE UNITED STATES, HAS THE PO DOCUMENTED THAT APPROVAL HAS BEEN OBTAINED FROM THE OFFICE OF INTERNATIONAL ACTIVITIES (OIA)?	G	G	AWARD MAY NOT BE MADE WITHOUT OIA APPROVAL.
28. DOES THE PROJECT INVOLVE ENVIRONMENTAL SAMPLING OR DATA GENERATION WHICH WAS NOT INCLUDED IN THE ORIGINAL PROPOSAL?	G	G	IF YES, INCLUDE QUALITY ASSURANCE CONDITION IN TERMS & CONDITIONS OF AWARD.
29. IF PROGRAM INCOME WAS IDENTIFIED IN THE WORK PLAN REVIEW SECTION, HAS THE PROGRAM OFFICE DOCUMENTED IT'S USE?	G	G	IF YES, FUNDING RECOMMENDATION SHOULD DOCUMENT HOW THE RECIPIENT IS TO USE THIS INCOME: G MATCHING G DEDUCTION G ADDITION
30. IS THIS AMENDMENT ACTION BEING FUNDED USING MORE THAN ONE APPROPRIATION?	G	G	THE PO MUST DOCUMENT COMPLIANCE WITH THE MULTIPLE APPROPRIATIONS ORDER
31. ARE EPA IN-KIND COSTS INCLUDED WHICH WERE NOT ANTICIPATED/APPROVED IN THE ORIGINAL PROPOSAL AND/OR SUBSEQUENT AMENDMENTS?	G	G	PO IS REQUIRED TO DOCUMENT IN-KIND COSTS.
32. IS EQUIPMENT PROPOSED WHICH WAS NOT ANTICIPATED IN THE ORIGINAL PROPOSAL OR SUBSEQUENT AMENDMENTS?	G	G	HAS THE PO APPROVED EQUIPMENT AND PROVIDED DISPOSITION INSTRUCTIONS?
<b>vi. COMPETITION POLICY</b>			
	Yes	No	Comments
33. IS THE AMENDED APPLICATION EXEMPT FROM THE COMPETITION POLICY?	G	G	REFER TO GCA WEBPAGE: <a href="http://intranet.epa.gov/ogd/compnet/">HTTP://INTRANET.EPA.GOV/OGD/COMPNET/</a>
35. IF THE AMENDMENT WAS REQUIRED TO BE COMPETED IN ACCORDANCE WITH THE COMPETITION ORDER, No. 13, HOWEVER, WAS NOT COMPETED, HAS THE PROJECT OFFICER DOCUMENTED THE EXCEPTION JUSTIFICATION AND OBTAINED ALL APPROVALS AND CERTIFICATIONS REQUIRED BY THE ORDER?	G	G	REFER TO GCA WEBPAGE: <a href="http://intranet.epa.gov/ogd/compnet/">HTTP://INTRANET.EPA.GOV/OGD/COMPNET/</a>
<b>vii. OTHER REQUIREMENTS</b>			
			<b>G N/A</b>
36. HAS THE ADMINISTRATIVE BASELINE MONITORING REVIEW BEEN COMPLETED AND DOCUMENTED IN THE IGMS POST-AWARD DATABASE AND/OR THE OFFICIAL GRANT FILE FOR THIS AMENDMENT?	G	G	IN ACCORDANCE WITH <a href="#">EPA ORDER 5700.6A1</a> , <a href="#">POLICY ON COMPLIANCE, REVIEW AND MONITORING</a> , GRANTS SPECIALISTS ARE REQUIRED TO PERFORM AND DOCUMENT BASELINE MONITORING ON EVERY AWARD ON AN ONGOING BASIS, THROUGHOUT THE LIFE OF THE AGREEMENT. PLEASE REFER TO THE ORDER FOR DETAILS OF THIS REQUIREMENT: <a href="http://intranet.epa.gov/ogd/policy/order/5700_6A1.pdf">HTTP://INTRANET.EPA.GOV/OGD/POLICY/ORDER/5700_6A1.PDF</a>

# ADMINISTRATIVE FUNDING RECOMMENDATION

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VII. OTHER REQUIREMENTS (CONT)	Yes	No	Comments
37. DOES THIS AMENDED FUNDING ACTION REQUIRE THE SRO SIGNATURE? IF SO, DATE OBTAINED: _____	G	G	CONTINUING ENVIRONMENTAL PROGRAMS - REQUIRED IF TOTAL PROJECT COST IS \$5MILLION OR GREATER PROJECT GRANTS - REQUIRED IF TOTAL PROJECT COST IS \$1MILLION OR GREATER
38. DOES THIS AMENDMENT REQUIRE AA/RA DISCRETIONARY REVIEW?  MONETARY AMENDMENTS WHICH ARE OUTSIDE THE ORIGINAL SCOPE OF WORK	G	G	<b>APPLICABLE CFDA'S:</b> 66.033, 66.034, 66.035, 66.110, 66.305, 66.306, 66.424, 66.436, 66.437, 66.439, 66.456, 66.461, 66.462, 66.463, 66.466, 66.469, 66.475, 66.478, 66.479, 66.480, 66.481, 66.500, 66.509, 66.510, 66.511, 66.512, 66.515, 66.516, 66.604, 66.606, 66.607, 66.609, 66.610, 66.611, 66.708, 66.709, 66.714, 66.715, 66.716, 66.717, 66.806, 66.808, 66.810, 66.813, 66.814, 66.815, 66.818, 66.931, 66.940, 66.950, 66.951
<b>VIII. BUDGET &amp; PROJECT PERIOD EXTENSION</b>			<b>G N/A</b>
	Yes	No	Comments
39. IS THE APPLICANT A PART 30 RECIPIENT?  DID THE RECIPIENT NOTIFY THE AWARD OFFICIAL IN WRITING WITH THE SUPPORTING REASONS AND REVISED EXPIRATION DATE AT LEAST 10 DAYS BEFORE THE BUDGET AND PROJECT PERIOD EXPIRATION DATE SPECIFIED IN THE AWARD.	G  G	G  G	IF NO, APPROVAL IS REQUIRED BY THE EPA AWARD OFFICIAL.  THE EXTENSION MAY NOT BE FOR THE SOLE PURPOSE OF EXPENDING ANY REMAINING BALANCE OF FEDERAL FUNDS. EXAMPLES OF JUSTIFICATIONS INCLUDE: ADVERSE WEATHER, RESOURCE CONSTRAINTS, PERSONNEL CHANGES, PROCUREMENT ISSUES, ETC.  RECIPIENT MAY REQUEST A ONE TIME B&P EXTENSION FOR UP TO 12 MONTHS WITHOUT PRIOR APPROVAL
40. IS THE APPLICANT A PART 31 RECIPIENT?	G	G	THE EXTENSION MAY NOT BE FOR THE SOLE PURPOSE OF EXPENDING ANY REMAINING BALANCE OF FEDERAL FUNDS. EXAMPLES OF JUSTIFICATIONS INCLUDE: ADVERSE WEATHER, RESOURCE CONSTRAINTS, PERSONNEL CHANGES, PROCUREMENT ISSUES, ETC.
41. THE EXTENSION IS ALLOWABLE ACCORDING TO REGULATORY/POLICY TIME FRAMES?  PROJECT PERIOD END PROPOSED NEW DATE: _____  TOTAL PROJECT PERIOD (YEARS): _____	G	G	(CHECK CFDA, GRANT REGULATIONS, COMPETITIVE ANNOUNCEMENT, ETC.)
42. ARE THE FUNDS AVAILABLE FOR THE LIFE OF THE PROJECT?	G	G	THE PROJECT/BUDGET PERIODS SHOULD NOT EXCEED M ACCOUNT LIMITATIONS PER OCFO 91-11.
43. IS THE TIME EXTENSION APPROVED BY THE PROJECT OFFICER?	G	G	IF NO, DATE RECIPIENT NOTIFIED _____

### ADDITIONAL FOLLOW-UP ACTIONS NEEDED

ISSUE(S)

DATE RESOLVED

### APPROVAL SECTION

THIS AMENDED APPLICATION FOR FEDERAL ASSISTANCE HAS BEEN REVIEWED FOR ADMINISTRATIVE COMPLIANCE WITH STATUTORY, REGULATORY, POLICY AND DELEGATED AUTHORITIES. SIGNATURE BELOW INDICATES, IN THE REVIEWERS OPINION, THE APPLICATION COMPLIES WITH THE ADMINISTRATIVE REQUIREMENTS FOR AWARD OF ASSISTANCE.

\_\_\_\_\_  
GRANT SPECIALIST

\_\_\_\_\_  
DATE

Date Last Revised Dec 05, 2005  
GS Amendment Checklist 12.05.05.wpd